

cause as to why the account should not be closed.

(d) *Account identification.* The Administrator will assign a unique identifying number to each account established under paragraph (a), (b), or (c) of this section.

(e) *Responsibilities of authorized account representative and alternate authorized account representative.* After the establishment of a compliance account or general account, the Administrator will accept or act on a submission pertaining to the account, including, but not limited to, submissions concerning the deduction or transfer of TR NO_x Annual allowances in the account, only if the submission has been made, signed, and certified in accordance with §§ 97.414(a) and 97.418 or paragraphs (c)(2)(ii) and (c)(5) of this section.

§ 97.421 Recordation of TR NO_x Annual allowance allocations and auction results.

(a) By November 7, 2011, the Administrator will record in each TR NO_x Annual source's compliance account the TR NO_x Annual allowances allocated to the TR NO_x Annual units at the source in accordance with § 97.411(a) for the control period in 2012.

(b) By November 7, 2011, the Administrator will record in each TR NO_x Annual source's compliance account the TR NO_x Annual allowances allocated to the TR NO_x Annual units at the source in accordance with § 97.411(a) for the control period in 2013, unless the State in which the source is located notifies the Administrator in writing by October 17, 2011 of the State's intent to submit to the Administrator a complete SIP revision by April 1, 2012 meeting the requirements of § 52.38(a)(3)(i) through (iv) of this chapter.

(1) If, by April 1, 2012, the State does not submit to the Administrator such complete SIP revision, the Administrator will record by April 15, 2012 in each TR NO_x Annual source's compliance account the TR NO_x Annual allowances allocated to the TR NO_x Annual units at the source in accordance with § 97.411(a) for the control period in 2013.

(2) If the State submits to the Administrator by April 1, 2012, and the Administrator approves by October 1, 2012, such complete SIP revision, the Administrator will record by October 1, 2012 in each TR NO_x Annual source's compliance account the TR NO_x Annual allowances allocated to the TR NO_x Annual units at the source as provided in such approved, complete SIP revision for the control period in 2013.

(3) If the State submits to the Administrator by April 1, 2012, and the Administrator does not approve by October 1, 2012, such complete SIP revision, the Administrator will record by October 1, 2012 in each TR NO_x Annual source's compliance account the TR NO_x Annual allowances allocated to the TR NO_x Annual units at the source in accordance with § 97.411(a) for the control period in 2013.

(c) By July 1, 2013, the Administrator will record in each TR NO_x Annual source's compliance account the TR NO_x Annual allowances allocated to the TR NO_x Annual units at the source, or in each appropriate Allowance Management System account the TR NO_x Annual allowances auctioned to TR NO_x Annual units, in accordance with § 97.411(a), or with a SIP revision approved under § 52.38(a)(4) or (5) of this chapter, for the control period in 2014 and 2015.

(d) By July 1, 2014, the Administrator will record in each TR NO_x Annual source's compliance account the TR NO_x Annual allowances allocated to the TR NO_x Annual units at the source, or in each appropriate Allowance Management System account the TR NO_x Annual allowances auctioned to TR NO_x Annual units, in accordance with § 97.411(a), or with a SIP revision approved under § 52.38(a)(4) or (5) of this chapter, for the control period in 2016 and 2017.

(e) By July 1, 2015, the Administrator will record in each TR NO_x Annual source's compliance account the TR NO_x Annual allowances allocated to the TR NO_x Annual units at the source, or in each appropriate Allowance Management System account the TR NO_x Annual allowances auctioned to TR NO_x Annual units, in accordance with § 97.411(a), or with a SIP revision approved under § 52.38(a)(4) or (5) of this

chapter, for the control period in 2018 and 2019.

(f) By July 1, 2016 and July 1 of each year thereafter, the Administrator will record in each TR NO_x Annual source's compliance account the TR NO_x Annual allowances allocated to the TR NO_x Annual units at the source, or in each appropriate Allowance Management System account the TR NO_x Annual allowances auctioned to TR NO_x Annual units, in accordance with § 97.411(a), or with a SIP revision approved under § 52.38(a)(4) or (5) of this chapter, for the control period in the fourth year after the year of the applicable recordation deadline under this paragraph.

(g) By August 1, 2012 and August 1 of each year thereafter, the Administrator will record in each TR NO_x Annual source's compliance account the TR NO_x Annual allowances allocated to the TR NO_x Annual units at the source, or in each appropriate Allowance Management System account the TR NO_x Annual allowances auctioned to TR NO_x Annual units, in accordance with § 97.412(a)(2) through (8) and (12), or with a SIP revision approved under § 52.38(a)(4) or (5) of this chapter, for the control period in the year of the applicable recordation deadline under this paragraph.

(h) By August 1, 2012 and August 1 of each year thereafter, the Administrator will record in each TR NO_x Annual source's compliance account the TR NO_x Annual allowances allocated to the TR NO_x Annual units at the source in accordance with § 97.412(b)(2) through (8) and (12) for the control period in the year of the applicable recordation deadline under this paragraph.

(i) By February 15, 2013 and February 15 of each year thereafter, the Administrator will record in each TR NO_x Annual source's compliance account the TR NO_x Annual allowances allocated to the TR NO_x Annual units at the source in accordance with § 97.412(a)(9) through (12), for the control period in the year before the year of the applicable recordation deadline under this paragraph.

(j) By the date on which any allocation or auction results, other than an allocation or auction results described

in paragraphs (a) through (i) of this section, of TR NO_x Annual allowances to a recipient is made by or are submitted to the Administrator in accordance with § 97.411 or § 97.412 or with a SIP revision approved under § 52.38(a)(4) or (5) of this chapter, the Administrator will record such allocation or auction results in the appropriate Allowance Management System account.

(k) When recording the allocation or auction of TR NO_x Annual allowances to a TR NO_x Annual unit or other entity in an Allowance Management System account, the Administrator will assign each TR NO_x Annual allowance a unique identification number that will include digits identifying the year of the control period for which the TR NO_x Annual allowance is allocated or auctioned.

§ 97.422 Submission of TR NO_x Annual allowance transfers.

(a) An authorized account representative seeking recordation of a TR NO_x Annual allowance transfer shall submit the transfer to the Administrator.

(b) A TR NO_x Annual allowance transfer shall be correctly submitted if:

(1) The transfer includes the following elements, in a format prescribed by the Administrator:

(i) The account numbers established by the Administrator for both the transferor and transferee accounts;

(ii) The serial number of each TR NO_x Annual allowance that is in the transferor account and is to be transferred; and

(iii) The name and signature of the authorized account representative of the transferor account and the date signed; and

(2) When the Administrator attempts to record the transfer, the transferor account includes each TR NO_x Annual allowance identified by serial number in the transfer.

§ 97.423 Recordation of TR NO_x Annual allowance transfers.

(a) Within 5 business days (except as provided in paragraph (b) of this section) of receiving a TR NO_x Annual allowance transfer that is correctly submitted under § 97.422, the Administrator will record a TR NO_x Annual allowance transfer by moving each TR